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14 **UNITED STATES DISTRICT COURT**
15 **CENTRAL DISTRICT OF CALIFORNIA**

16 SECURITIES AND EXCHANGE
COMMISSION,

17 Plaintiff,

18 vs.

19 BRUCE A. COLE,

20 Defendant,

21 and

22 NANETTE H. COLE,

23 Relief Defendant.
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Case No. CV 12-08024-ABC (SHx)

**STATUS REPORT RE: CRIMINAL
ACTION**

1 Plaintiff Securities and Exchange Commission, (the “SEC”) files this status
2 report pursuant to the Court’s March 21, 2013 order granting defendants’ motion to
3 stay (Dkt. No. 28) and the Court’s August 26, 2014 Minute Order (Dkt. No. 32).

4 On September 2, 2014, Mr. Cole pled guilty to two counts of securities fraud
5 and one count of theft in the criminal action filed by the Missouri Attorney General
6 against him, *State of Missouri v. Cole* (Case No. 12RA-CR00584-01). His
7 sentencing is scheduled for November 3, 2014. The SEC will file a further status
8 report within 10 days of his sentencing.

9 DATED: September 10, 2014 Respectfully submitted,

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11 /s/ Sam S. Puathasnanon
12 Sam S. Puathasnanon
13 Attorneys for Plaintiff
14 Securities and Exchange Commission
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PROOF OF SERVICE

I am over the age of 18 years and not a party to this action. My business address is:

☒ U.S. SECURITIES AND EXCHANGE COMMISSION, 5670 Wilshire Boulevard, 11th Floor, Los Angeles, California 90036-3648
Telephone No. (323) 965-3213; Facsimile No. (323) 965-3908.

On March 14, 2014, I caused to be served the document entitled **STATUS REPORT RE: CRIMINAL ACTION** on all the parties to this action addressed as stated on the attached service list:

☐ **OFFICE MAIL:** By placing in sealed envelope(s), which I placed for collection and mailing today following ordinary business practices. I am readily familiar with this agency's practice for collection and processing of correspondence for mailing; such correspondence would be deposited with the U.S. Postal Service on the same day in the ordinary course of business.

☐ **PERSONAL DEPOSIT IN MAIL:** By placing in sealed envelope(s), which I personally deposited with the U.S. Postal Service. Each such envelope was deposited with the U.S. Postal Service at Los Angeles, California, with first class postage thereon fully prepaid.

☐ **EXPRESS U.S. MAIL:** Each such envelope was deposited in a facility regularly maintained at the U.S. Postal Service for receipt of Express Mail at Los Angeles, California, with Express Mail postage paid.

☐ **HAND DELIVERY:** I caused to be hand delivered each such envelope to the office of the addressee as stated on the attached service list.

☐ **UNITED PARCEL SERVICE:** By placing in sealed envelope(s) designated by United Parcel Service ("UPS") with delivery fees paid or provided for, which I deposited in a facility regularly maintained by UPS or delivered to a UPS courier, at Los Angeles, California.

☒ **ELECTRONIC MAIL:** By transmitting the document by electronic mail to the electronic mail address as stated on the attached service list.

☐ **E-FILING:** By causing the document to be electronically filed via the Court's CM/ECF system, which effects electronic service on counsel who are registered with the CM/ECF system.

☐ **FAX:** By transmitting the document by facsimile transmission. The transmission was reported as complete and without error.

I declare under penalty of perjury that the foregoing is true and correct.

Date: March 14, 2014

/s/ Maureen F. Franks

Maureen F. Franks

SEC v. BRUCE A. COLE ET AL
United States District Court – Central District of California
Case No. 12-CV-08024-ABC (SHx)

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